

**DOCKET NO.: MSFT-2568/307781.01**

**PATENT**

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

**In Re Application of:**

**Richard M. Shupak; Philip M. Lucido**

**Confirmation No.: Not yet Assigned**

**Application No.: Not yet Assigned**

**Group Art Unit: Not Yet Assigned**

**Filing Date: Herewith**

**Examiner: Not Yet Assigned**

**For: PROTECTION AGAINST RUNTIME FUNCTION ATTACKS**

**EXPRESS MAIL LABEL NO: EL969188897US**

**DATE OF DEPOSIT: December 31, 2003**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Dear Sir:

**INFORMATION DISCLOSURE STATEMENT**

Pursuant to 37 CFR § 1.56 and in accordance with 37 CFR §§ 1.97-1.98, information relating to the above-identified application is hereby disclosed. Inclusion of information in this statement is not to be construed as an admission that this information is material as that term is defined in 37 CFR § 1.56(b).

- ☒ In accordance with § 1.97(b), since this Information Disclosure Statement is being filed either within three months of the filing date of the above-identified application, within three months of the date of entry into the national stage of the above identified application as set forth in § 1.491, before the mailing date of a first Office Action on the merits of the above-identified application, or

before the mailing date of a first Office Action after the filing of request for continued examination under § 1.114, no additional fee is required.

☐ In accordance with § 1.129(a), this Information Disclosure Statement is being filed in connection with ☐ the first or ☐ second After Final Submission, therefore:

☐ Certification in Accordance with § 1.97(e) is attached; or

☐ The fee of \$180.00 as set forth in § 1.17(p) is attached.

☐ In accordance with § 1.97(c), this Information Disclosure Statement is being filed after the period set forth in § 1.97(b) above but before the mailing date of either a Final Action under § 1.113 or a Notice of Allowance under § 1.311, or before an action that otherwise closes prosecution in the application, therefore:

☐ Certification in Accordance with § 1.97(e) is attached;  
or

☐ The fee of \$180.00 as set forth in § 1.17(p) is attached.

☐ In accordance with § 1.97(d), this Information Disclosure Statement is being filed after the mailing date of either a Final Action under § 1.113 or a Notice of Allowance under § 1.311 but before, or simultaneously with, the payment of the Issue Fee, therefore included are: Certification in Accordance with § 1.97(e); and the submission fee of \$180.00 as set forth in § 1.17(p).

- ☒ Copies of each of the references listed on the attached Form PTO-1449 are enclosed herewith.
- ☐ Copies of references listed on the attached Form PTO-1449 are enclosed herewith
- ☐ Copies of references listed on the attached Form PTO 1449 are not required to be submitted pursuant to the June 30, 2003 recent revisions to 37 CFR § 1.98(a)(2)(i).

EXCEPT THAT:

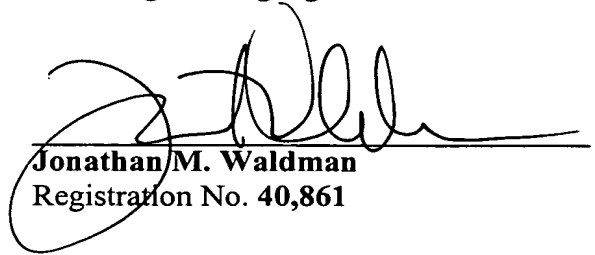
- ☐ In view of the voluminous nature of references [list as appropriate], and the likelihood that these references are available to the Examiner, copies are not enclosed herewith.
- ☐ In accordance with § 1.98(d), copies of the following references listed on the attached Form PTO-1449 are not enclosed herewith because they were previously cited by or submitted to the U.S. Patent and Trademark Office in patent application(s) for which a claim for priority under 35 U.S.C. § 120 have been made in the instant application:
  - ☐ Copies of references [list as appropriate] listed on the attached Form PTO-1449 were previously cited by or submitted to the Patent and Trademark Office in prior Application No.

, filed .

Please charge any deficiency or credit any overpayment to Deposit Account No. 23-3050. This form is submitted in duplicate.

There are no listed references which are not in the English language.

Date: December 31, 2003



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<b>Form PTO-1449 Modified</b>  List of Patent and Publications Cited by Applicant (Use several sheets if necessary)  U.S. Department of Commerce Patent and Trademark Office		Docket No. <b>MSFT-2568/307781.01</b>	Serial No. <b>Not Yet Assigned</b>
		Applicant <b>Richard M. Shupak; Philip M. Lucido</b>	
		Filing Date <b>Herewith</b>	Group <b>Not Yet Assigned</b>
<b>OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)</b>			
	<b>1</b>	Bernaschi, M. et al., "Operating System Enhancements to Prevent the Misuse of System Calls", <i>Proceedings of the 7<sup>th</sup> ACM Conference on Computer and Communications Security</i> , <b>November 2000</b> , 174-183	
	<b>2</b>	Cierniak, M. et al., "Practicing JUDO: Java™ Under Dynamic Optimizations", <i>ACM Sigplan Notices, Proceedings of the ACM Sigplan '00 Conference on Programming Language Design and Implementation</i> , <b>May 2000</b> , 35(5), 13-26	
	<b>3</b>	Cowan, C. et al., "Death, Taxes, and Imperfect Software: Surviving the Inevitable", <i>Proceedings of the 1998 Workshop on New Security Paradigms</i> , <b>January 1998</b> , 54-70	
	<b>4</b>	Deng, R.H. et al., "Defending Against Redirect Attacks in Mobile IP", <i>Proceedings of the 9<sup>th</sup> ACM Conference on Computer and Communications Security</i> , <b>2002</b> , 59-67	
	<b>5</b>	Engler, D.R. et al., "Exokernel: An Operating System Architecture for Application-Level Resource Management", <i>ACM Sigops Operating Systems Review, Proceedings of the Fifteenth ACM Symposium on Operating Systems Principles</i> , <b>December 1995</b> , 29(5), 251-266	
	<b>6</b>	Kargl, F. et al., "Protecting Web Servers from Distributed Denial of Service Attacks", <i>Proceedings of the 10<sup>th</sup> International Conference on World Wide Web</i> , <b>2001</b> , 514-524	
	<b>7</b>	Kent, S.T., "Encryption-Based Protection for Interactive User/Computer Communication", <i>Proceedings of the 5<sup>th</sup> Data Communications Symposium</i> , <b>1977</b> , 5-7-5-13	
	<b>8</b>	Ogasawara, T. et al., "A Study of Exception Handling and Its Dynamic Optimization in Java", <i>ACM Sigplan Notices, Proceedings of the OOPSLA '01 Conference on Object Oriented Programming Systems Languages and Applications</i> , <b>October 2001</b> , 36(11), 83-95	
	<b>9</b>	Pietrek, M., "A Crash Course on the Depths of WIN32™ Structured Exception Handling", <i>Microsoft Systems Journal</i> , <b>January 1997</b> , 19 pages	
	<b>10</b>	Ramsey, N., "A Single Intermediate Language That Supports Multiple Implementations of Exceptions", <i>ACM Sigplan Notices, Proceedings of the ACM SIGPLAN '00 Conference on Programming Language Design and Implementation</i> , <b>May 2000</b> , 35(5), 285-298	
	<b>11</b>	Yemini, S. et al., "A Modular Verifiable Exception-Handling Mechanism", <i>ACM Transactions on Programming Language and Systems</i> , <b>April 1985</b> , 7(2), 214-243	
	<b>12</b>	Zandy, V.C. et al., "Process Hijacking", <i>Proceedings of the 8<sup>th</sup> IEEE International Symposium on High Performance Distributed Computing</i> , <b>1999</b> , 32(Abstract Attch.)	
<b>EXAMINER</b>		<b>DATE CONSIDERED</b>	

<b>Form PTO-1449 Modified</b>  List of Patent and Publications Cited by Applicant (Use several sheets if necessary)  U.S. Department of Commerce Patent and Trademark Office		Docket No. <b>MSFT-2568/307781.01</b>	Serial No. <b>Not Yet Assigned</b>
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		Filing Date <b>Herewith</b>	Group <b>Not Yet Assigned</b>
<b>OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)</b>			
	<b>13</b>	Zuccherato, R., "RFC-2785: Methods for Avoiding the "Small-Subgroup" Attacks on the Diffie-Hellman Key Agreement Method for S/MIME", <i>Network Working Group-Entrust Technologies</i> , 2000, <a href="http://delivery.acm.org">http://delivery.acm.org</a> , 11 pages	
<b>EXAMINER</b>		<b>DATE CONSIDERED</b>	